



Tips, Complaints, and Referrals

Summary Page - Submitted Externally

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Thank you for contacting the United States Securities and Exchange Commission. This automated response confirms that your submission has been received successfully. We are always interested in hearing from the public, and your submission will be given careful consideration in view of the Commission's overall responsibilities under the federal securities laws. Please note, however, that it is the Commission's policy to conduct its investigations on a non-public basis in order to preserve the integrity of its investigative process. Subject to the provisions of the Freedom of Information Act, we cannot disclose to you any information which we may gather, nor can we confirm the existence or non-existence of an investigation, unless such information is made a matter of public record in proceedings brought before the Commission or the courts. Therefore, this may be the only response that you receive. If you want to learn more about how the Commission handles inquiries or complaints, please visit http://www.sec.gov/complaint/info_tipscomplaint.shtml.

What is your complaint about?

Q: Please select the option that best describes your complaint.

A: Insider trading

Q: Please select the specific category that best describes your complaint.

A: Corporate insider

Q: In your own words, describe the conduct or situation you are complaining about.

A: Good morning, I reported a suspicious transaction earlier this week under Submission Number 15505-488-503, and this is a follow up. There is a Bloomberg article from today that describes precisely the situation I reported (I did not speak to the press): <https://www.bloomberg.com/news/articles/2019-02-22/natixis-said-to-have-examined-executive-s-share-sale-before-loss> The main piece of information that is news to me is the following: "Debray had decided to dispose of the shares several weeks before he did so, people familiar with the matter said." I do not know whether this is true, but I now know that the problem in Asia was known as early as October, several weeks before Pierre Debray sold his shares. I think that I can obtain an email that proves it, if needed. I am aware that the SEC does not communicate about ongoing investigations. However, could you please let me know whether you think this is outside of the purview of the SEC, in which case I will stop sending you information about this suspicious transaction. And if it is something you decide you want to look into (I provided several reasons why I think you might want to), please let me know whether you would like me to find information that can be useful



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to the investigation, such as the email I mentioned above. Thanks, [REDACTED]@gmail.com
[REDACTED]

Q: Are you having or have you had difficulty getting access to your funds or securities?

A: No

Q: Did you suffer a loss?

A: No

Q: When did you become aware of the conduct? (mm/dd/yyyy)

A: 01/16/2019

Q: When did the conduct begin? (mm/dd/yyyy)

A: 11/14/2018

Q: Is the conduct ongoing?

A: No

Q: When did the conduct stop? (mm/dd/yyyy)

A: 11/14/2018

Q: Has the individual or firm acknowledged the conduct?

A: No

Q: How did you learn about the conduct? You may select more than one answer.

A: Publicly available information

About you

Submitter # 1



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Q: Are you filing this tip under the SEC's whistleblower program?

A: Yes

Q: Are you an attorney filling out this form on behalf of an anonymous whistleblower client who is seeking an award?

A: No

Q: Title

A: Mr

Q: First Name

A: [REDACTED]

Q: Last Name

A: [REDACTED]

Q: Mobile Telephone

A: [REDACTED]

Q: Email Address

A: [REDACTED]@gmail.com

Q: Are documents or other information being submitted that could potentially identify the whistleblower?

A: No

Q: Does the whistleblower want to be eligible to apply for a whistleblower award?

A: No